

APPLICATION  
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TITLE: AUTOMATED PUBLIC KEY CERTIFICATE TRANSFER  
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## AUTOMATED PUBLIC KEY CERTIFICATE TRANSFER

### BACKGROUND OF THE INVENTION

The present invention relates to automated public key certificate transfer.

Public key cryptography uses public-private key pairs for electronic signatures,  
5 electronic signature verification and encryption and decryption of data for security during  
electronic transmission. In simple terms, a public key owned by an individual receiving the  
data (the "recipient") is used by a sender to encrypt the data. The recipient then uses the  
recipient's corresponding private key to decrypt the data. In order to encrypt the data, the  
sender must have access to the recipient's public key.

When electronically signing data, a sender signs the data using the sender's private  
10 key, an operation that can involve using the private key to encrypt a "cryptographic hash" of  
the data that is being signed, and then making available to the recipient the signed data and  
the encrypted hash (the "signature"). The recipient verifies the signature by computing a  
new hash over the data using the sender's public key, decrypting the encrypted hash of the  
signature and comparing the two hashes. If the hashes match, then the data integrity is  
15 proven.

Typically, a public key for another individual (the sender for example) is obtained by  
obtaining the individual's public key certificate directly or indirectly from that individual. A  
certificate is an electronic data object including a public key, and can be issued by a trusted  
20 third party, a certificate authority, that verifies the identity of the certificate holder. The  
certificate can also include the name of the certificate authority and the name of the  
individual or entity for whom the certificate is issued. The recipient of another individual's  
certificate should take steps to verify the trustworthiness or authenticity of the certificate,  
which can then be added to a personal certificate database for later use. The recipient of an  
25 electronically signed document can verify the identity of the sender (signer) by verifying the  
certificate of the sender.

Currently, there are a number of ways to obtain someone's certificate, some of which  
are covered by standards issued by the Internet Engineering Task Force public-key  
infrastructure (X.509) working group (IETF-PKIX). For instance, the certificate can be

found in a searchable database on a server. Such a server would typically be provided and managed by a trusted party that undertakes to ensure the validity of the database's contents, including the certificates it contains.

5 A certificate owner can also manually include the certificate as an attachment to an e-mail message sent to a recipient. This requires the owner to place the certificate into a file that will be attached to the e-mail message, and the recipient must manually add the certificate to a personal certificate database for later use.

## SUMMARY

10 The present invention provides methods and apparatus, including computer program products, for exchanging certificates. In general, in one aspect, the invention features generating a first container object including one or more of a sender's certificate and a request for a recipient's certificate, wherein the first container object has a recognizable container type, and transmitting the first container object to a recipient's address.

15 Implementations of the invention can include one or more of the following. Prior to generating a first container object, input can be received from a sender specifying the recipient's address and specifying one or more of a certificate of the sender and a request for the recipient's certificate to include in the first container object. The first container object can be transmitted by electronic mail or Hypertext Transfer Protocol, and the first container object can be generated by a server. If the sender has multiple certificates, input can be  
20 received from the sender selecting one or more of the sender's multiple certificates, which selected certificates can be retrieved from a certificate database and included in the first container object. If the first container object includes a request for a recipient's certificate, input can be received from a sender specifying a return address for receiving the recipient's certificate and instructions for returning the recipient's certificate, and the return address and  
25 instructions for returning the recipient's certificate can be included in the first container object. If the first container object includes a sender's certificate, validation information to be used to validate the sender's certificate can be included in the first container object. The container type can be Forms Data Format.

30 In general, in another aspect, the invention features receiving a container object having a container type, recognizing the container type and that the container object may

include a certificate of a sender of the container object, and determining if the container object contains a certificate of the sender.

Implementations of the invention can include one or more of the following. The container object can be received by electronic mail or Hypertext Transfer Protocol. The container type can be Forms Data Format. The container object can include a certificate and validation information and the certificate can be accepted or rejected using the validation information. If the certificate is accepted, the certificate can be extracted and stored.

In general, in another aspect, the invention features receiving a first container object having a container type, recognize the container type and that the first container object may include a request for a certificate of a recipient of the container object, determining if the first container object includes a request for a certificate of the recipient, and, if a request is included in the first container object, then responding to the request. A request can be responded to by generating a second container object including a certificate of the recipient, extracting a return address from the first container object, and transmitting the second container object to the return address. The first container object and the second container object can be a Forms Data Format container type. The first container object can be received from a networked server and can be responded to by transmitting the recipient's certificate back to the networked server by Hypertext Transfer Protocol.

In general, in another aspect, the invention features generating a first container object including a sender's certificate and a request for a recipient's certificate, wherein the first container object has a recognizable container type, transmitting the first container object to a recipient's address, and receiving a second container object generated in response to the request for the recipient's certificate, the second container object having the recognizable container type. It can be determined if the second container object includes the recipient's certificate and, if the second container object includes the recipient's certificate, then the recipient's certificate can be accepted or rejected.

In general, in another aspect, the invention features generating a first container object including one or more of instructions for retrieving a sender's certificate and instructions requesting a recipient's certificate, wherein the first container object has a recognizable container type, and transmitting the first container object to a recipient's address.

The invention can be implemented to realize one or more of the following advantages. A user can request a certificate from another user. The recipient of such a request can respond to the request by sending the recipient's certificate automatically, without the recipient manually exporting the certificate into a file or cutting and pasting the certificate into an e-mail message. A user can send a certificate over a computer network without having to export manually the certificate into a file or cut and paste the certificate into an e-mail message. The certificate transfer process can take place across multiple network elements of different kinds. A server can request a certificate from a specific user. A server can push certificates over a communications network to a user.

The details of one or more implementations of the invention are set forth in the accompanying drawings and the description below. Other features and advantages of the invention will become apparent from the description, the drawings, and the claims.

#### BRIEF DESCRIPTION OF DRAWINGS

FIG. 1A is a block diagram of a system for exchanging certificates.

FIG. 1B is a block diagram of a container object.

FIG. 2 is a flowchart showing a method for sending a certificate and request for a certificate.

FIG. 3 is a flowchart showing a method for receiving a certificate.

FIG. 4 is a flowchart showing a method for validating a certificate.

FIG. 5 is a flowchart showing a method for receiving and responding to a request for a certificate.

Like reference symbols in the various drawings indicate like elements.

#### DETAILED DESCRIPTION

As shown in FIG. 1A, a system for exchanging certificates includes computers 100, 160 that communicate over a computer network 155. The computers 100, 160 each have a computer program 105, 165 that includes a container object generator module 110, 175 and a container object extractor module 115, 170. The computer programs 105, 165 have access to a data store storing certificate information. In the illustrative system, this is a certificate database 120, 180 stored on storage media locally connected to the respective computer 100, 160. The certificate database 120, 180 includes certificates of a user of the computer 100,

160 and certificates the user has obtained from others. Any convenient form of database including a simple text file, and any convenient form of storage can be used, including, for example, a remote database stored on a server.

5 The container object generator 110, 175 operates to create container objects 125, shown in FIG. 1B. A container object 125 includes data 130. This data 130 can include some or all of: a certificate or certificates 140; a request for a certificate 145; a return address 150; and validation information 152. Container objects 125 are generated to be transmitted to another computer.

10 A computer program running in a computer, such as computer program 105, can implement a method 200 for transmitting a sender's certificate, a request for a recipient's certificate, or both, as shown in FIG. 2. A sender can have multiple certificates. For example, a sender can have different certificates for different purposes, such as a certificate for electronically signing a document and a certificate for encryption. Further, a sender can have different sets of certificates for use with different recipients. For example, a sender can have a set of certificates for use with the sender's bank and a second set of certificates for use with the sender's brokerage house. If a sender selects to send a certificate ('yes' branch of decision step 205) and the sender has multiple certificates, then the sender is prompted to select the certificate or certificates to send (210), which certificate or certificates are retrieved from a data store, such as certificate database 120 (215). If the sender does not have multiple certificates, then the sender's certificate is automatically retrieved from the certificate database 120 (215). The sender is also prompted to input an address for the recipient of the sender's certificate or certificates (220).

25 The computer program 105 also determines whether the sender desires to request a certificate of the recipient (225). This can be done by receiving input from the sender or by referring to a previously set user preference. For example, a preference can indicate that a certificate should be requested, if a certificate of the recipient does not appear in the sender's certificate database. Optionally, computer program 105 can prompt the sender to specify a return address to which the recipient's certificate is to be delivered (230), or alternatively, a default or previously set address can be used. The sender can also provide instructions for returning the recipient's certificate, such as specifying a protocol. A return address can be any convenient return path for the recipient's certificate, so long as the protocol is specified,

the address is specified for that protocol and the protocol supports this type of operation. For example, the return address can be an e-mail address or a URL. The container object generator module 110 of the computer program 105 then generates a container object including the sender's certificate or certificates (if the sender selected to include a certificate), the sender's request for the recipient's certificate (if any), and the return address (if any) (235). The container object is then transmitted to the recipient's address (240).

FIG. 3 shows a method 300 for receiving a container object including a sender's certificate. Recipient's computer 160 receives the container object and recognizes the container object as one that potentially includes a certificate ('yes' branch of decision step 310), based on the container type of the container object. The computer program 160 determines if a certificate is embedded in the container object (315) and, if so, the container object extractor 170 extracts the certificate from the container object (320). The extracted certificate can be stored in the certificate database 180.

As shown in FIG. 4, the recipient of the sender's certificate should validate the certificate before adding the certificate to the recipient's certificate database 180. For example, the container object can include validation information 152 that can be used to verify the authenticity (trustworthiness) of the sender's certificate before accepting the sender's certificate, which validation information 152 can be extracted from the container object by the container object extractor 170 (405). Upon receipt of the sender's certificate, the computer program 165 can generate a fingerprint of the certificate (410). A fingerprint is a cryptographic function, e.g., a one-way hash function, of the bytes of the certificate. The validation information 152 and the generated fingerprint can be displayed to the recipient (415). The validation information included in the container object can be contact information for the sender, which the recipient can use to contact the sender to confirm that the generated fingerprint of the received certificate matches a fingerprint of the certificate generated by the sender's computer 100 using computer program 105. If the fingerprints match, then the authenticity is verified and the recipient can accept the certificate ('yes' branch of decision step 420) and computer program 165 can add the certificate to the certificate database 180 (425). If the fingerprints do not match, then verification fails, and the certificate should be rejected and not added to the certificate database 180 ('no' branch of decision step 420).

In another implementation, the validation information 152 can include contact information of a third party authority that can verify the authenticity of the sender's certificate received by the recipient. For example, the contact information can be a URL to a Web site where the recipient can validate the sender's certificate through a trusted third party, such as a certificate registry. Any other convenient means to validate the sender's certificate can be used.

FIG. 5 shows a method 500 for receiving and responding to a request for the recipient's certificate. Recipient's computer 160 receives and recognizes the container object as one that could potentially include a request for a certificate ('yes' branch of decision step 505) based on the container type of the container object. If the container object includes a request for the recipient's certificate ('yes' branch of decision step 510), the user can optionally be prompted to specify whether permission is granted to send a certificate of the recipient in response to the request (515). If permission is granted ('yes' branch of decision step 515), then if the recipient has more than one certificate, the recipient is optionally prompted to select the certificate or certificates to send in response to the request (520), which certificates are retrieved from certificate database 180 (525). As discussed above, the recipient could have different certificates for use with different parties, such as a bank or a brokerage house. The request for a certificate can be tailored to assist the recipient in selecting the appropriate certificate or certificates to send in response to the request. If the recipient has only one certificate, then the certificate is automatically retrieved from certificate database 180 (525).

Container object generator 175 generates a new container object including the recipient's certificate or certificates (530). A return address to which the certificate is to be delivered is extracted from the received container object (535). The new container object is transmitted to the return address (540).

In another implementation, a server generates a container object including a request for a certificate. For example, a Web server can generate a container object including a request for a certificate and a recipient's Web browser can execute computer program 105, 165 to process the container object. The request for a certificate can be processed as described above in reference to FIG. 5. Alternatively, the request for a certificate can specify a particular network protocol for a direct response that contains the recipient's certificate.



The computer program 165 could, for example, transmit the recipient's certificate back to the Web server using Hypertext Transfer Protocol.

For illustrative purposes, the following example describes an instance when a Web server is the sender of a request for a certificate. A bank providing online banking services allows the bank's customers to receive their banking statements electronically over HTTP from a Web server. For security purposes, the bank requires a customer's public key certificate to encrypt the customer's banking statements before transmitting them to the customer electronically. Accordingly, if the bank does not have a customer's certificate in a certificate database, the bank generates a container object including a request for a certificate. A customer's Web browser associates the container object with an application program, such as computer program 105, 165, to process the container object and respond to the request for a certificate included in the container object.

In another implementation, certificates can be downloaded from a server. For example, a company having a number of employees could maintain a certificate database containing the certificates of the employees on a Web server. Employees of the company could access a Web site and request certificates of their fellow employees to enable the employees to share encrypted documents. Upon receiving a request by an employee for a certificate, the Web server generates a container object including the certificate. The employee's Web browser associates the container object with computer program 105, 165 and processes the container object using the method 300 shown in FIG. 3.

In one implementation, the container object is a Forms Data Format (FDF) file, which is described in "PDF Reference", 2<sup>nd</sup> ed., Addison-Wesley Publishing Company, (2000) at pp. 460-468. The FDF file type provides a convenient tunneling protocol for passing data between users using e-mail, HTTP, or other network protocols. A Web browser of an operating system of a computer 100, 160 will generally be instructed to associate an application computer program 105, 165, for example, Adobe Acrobat™ 5.0 ("Acrobat") by Adobe Systems Incorporated of San Jose, California, with the FDF file type or Multipurpose Internet Mail Extensions (MIME) type. The Web browser or operating system checks whether Acrobat is open, opens Acrobat if it is not open, and sends the FDF file to Acrobat for processing.

The invention can be implemented in digital electronic circuitry, or in computer hardware, firmware, software, or in combinations of them. Apparatus of the invention can be implemented in a computer program product tangibly embodied in a machine-readable storage device for execution by a programmable processor; and method steps of the invention can be performed by a programmable processor executing a program of instructions to perform functions of the invention by operating on input data and generating output. The invention can be implemented advantageously in one or more computer programs that are programmed on a programmable system including at least one programmable processor coupled to receive data and instructions from, and to transmit data and instructions to, a data storage system, at least one input device, and at least one output device. Each computer program can be implemented in a high-level procedural or object-oriented programming language, or in assembly or machine language if desired; and in any case, the language can be a compiled or interpreted language. Suitable processors include, by way of example, both general and special purpose microprocessors. Generally, a processor will receive instructions and data from a read-only memory and/or a random access memory. The essential elements of a computer are a processor for executing instructions and a memory. Generally, a computer will include one or more mass storage devices for storing data files; such devices include magnetic disks, such as internal hard disks and removable disks; magneto-optical disks; and optical disks. Storage devices suitable for tangibly embodying computer program instructions and data include all forms of non-volatile memory, including by way of example semiconductor memory devices, such as EPROM, EEPROM, and flash memory devices; magnetic disks such as internal hard disks and removable disks; magneto-optical disks; and CD-ROM disks. Any of the foregoing can be supplemented by, or incorporated in, ASICs (application-specific integrated circuits).

To provide for interaction with a user, the invention can be implemented on a computer system having a display device such as a monitor or LCD screen for displaying information to the user and a keyboard and a pointing device such as a mouse or a trackball by which the user can provide input to the computer system. The computer system can be programmed to provide a graphical user interface through which computer programs interact with users.

The invention has been described in terms of particular embodiments. Other embodiments are within the scope of the following claims. For example, steps of the invention can be performed in a different order and still achieve desirable results. The computer program 105, 165 is not limited to Adobe Acrobat™ 5.0. Also, computer program 105, 165 need not be a standalone program, but can be a plug-in installed in conjunction with another program. Similarly, a container object format different from the FDF file format can be used as the container object 125 and the new container object. Further, one or both of the computers 100, 160 can be one or more server or servers. Accordingly, the return address 150 may be any network address using any network protocol, in addition to HTTP server addresses and e-mail addresses.

Accordingly, other embodiments are within the scope of the following claims.

What is claimed is: